

Office of Developmental Disabilities

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**Number:** APD-IM-13-052

**Issue date:** 8/13/2013

**Topic:** Developmental Disabilities

**Subject:** 2013-2015 Developmental Disabilities Local Match Process SE 53

**Applies to (check all that apply):**

- |   |  |
|---|--|
| <input type="checkbox"/> All DHS employees                  | <input checked="" type="checkbox"/> County DD Program Managers   |
| <input type="checkbox"/> Area Agencies on Aging             | <input type="checkbox"/> County Mental Health Directors  |
| <input type="checkbox"/> Aging and People with Disabilities | <input type="checkbox"/> Health Services   |
| <input type="checkbox"/> Children, Adults and Families      | <input checked="" type="checkbox"/> Other (please specify): Mass Transit Providers for SE 53 Local Match |

**Message:**

In 2013-2015 Biennium (BI) the Local Match (LM) process for Non-Medical Transportation Services (SE 53) will remain similar to the 2011-2013 BI process for SE 53 LM projects. All contractors that provide SE 53 services and request LM funds must contract directly with DHS prior to providing any billable services.

Contractors for SE 53 LM must be considered a unit of government that provides SE 53 transportation to and from an approved Vocational and Alternative to Employment Service (SE 54) site and residential site via a door to door lift service, not regular bus pass. All SE 53 LM services must be prior authorized by the Community Developmental Disability Program (CDDP) that provides Case Management (SE 48).

Per **42 C.F.R. §433.50** a unit of government is a State, a city, a county, a special purpose district, or other governmental unit in the State that: has taxing authority, has direct access to tax revenues, is a State university teaching hospital with direct appropriations from the State treasury, or is an Indian tribe as defined in Section 4 of the Indian Self-Determination and Education Assistance Act, as amended [25 U.S.C. 450b].

In rare instances a CDDP can apply for the SE 53 LM project on behalf of a public transportation provider that does not meet the definition of "unit of government", if they provide door to door lift services to the general public. For example; Dial-A-Bus provides a door to door lift service to individuals whom are categorized as seniors

and disabled with and without Medicaid (Title XIX) funding. Please contact the Contracts Administration Unit (CAU) of the Office of Developmental Disabilities (ODDS) to inquire further.

An SE 53 LM Contractor can only claim rides for individuals prior authorized by the CDDP. The claim can only be for the max allowable rides per month as outlined in the signed contract. The Contractor must demonstrate the STF/Local Portion of LM project is available, by submitting funds to DHS Accounting. The Contractor may refuse future growth of services due to lack of STF/Local (public) funds available. Per **42 C.F.R. §433.51**, the public funds are not Federal funds, or are Federal funds authorized by Federal law to be used to match other Federal funds.

An SE 53 LM Contractor must follow the executed contract for SE 53 LM Projects. The Contractor/ CDDP are also responsible for complying with the Standards and Procedures located at <http://www.oregon.gov/DHS/spd/Pages/provtools/index.aspx>.

An SE 53 LM Contractor can submit claims quarterly broken down into monthly increments, no partial months allowed. The claims must be submitted within 365 days of providing the service, this means all [Monthly Ridership Rosters](#) must be submitted for review prior to 365 days past date of service.

The following sequential steps must occur to request a LM project:

- The potential SE 53 provider (Contractor) that is interested in doing an SE 53 Local Match project must contact the Contract Administration (CAU), Dawn Andersson at [dawn.c.andersson@state.or.us](mailto:dawn.c.andersson@state.or.us) .
- CAU confirms the provider qualifies as a unit of government or provides public transportation to the general public that includes lift services to individuals with Intellectual/Developmental Disabilities.
- Contractor provides financial information to support an “Approved Rate per Ride”. Contractor will be given specifics on what information is required at time of requesting a contract.
- CAU reviews the financial information, contacts the Office of Contracts and Procurement (OC&P) to draft a contract for SE 53 LM provider (Contractor) that includes the “Approved Rate per Ride”.
- Contractor signs the SE 53 LM contract and returns to OC&P.
- OC&P executes the contract.
- CAU sends the CDDP a master Monthly Ridership Roster.
- CDDP updates the master Monthly Ridership Roster with the Last, First Names and Prime Numbers for all authorized riders for a specific SE 53 LM Contractor. CDDP is responsible to update the master Monthly Ridership Roster when individuals exit and start services. All additional riders must be

reviewed with the contractor prior to adding to the roster. CDDP sends a copy to CAU contact listed above and the Contractor.

- Contractor provides the service and submits the completed Monthly Ridership Roster to CAU contact. The roster must show all one way rides by date provided and entered on the official excel document titled Monthly Ridership Roster.
- CAU will review the Monthly Ridership Roster to determine if the individual was eligible for Medicaid (Title XIX), receiving SE 54 and not receiving other SE 53 services during the time period of the claimed billing dates. CAU creates an invoice and cover email explaining the results of the review that is sent to the Contractor.
- Contractor sends DHS Accounting the STF/Local Portion of the SE 53 LM project per the invoice received from CAU. To assure funds are credited in the appropriate accounts Contractor will need to include a cover letter that clearly identifies your County Name, Number, Service Element, Local Match Project, date range and dollar amount for project  
DHS Receipting and Trust  
Attn: Contract Payments  
PO Box 14006  
Salem, OR 97309
- DHS Accounting will process the STF/Local Portion of the SE 53 LM and contact CAU when receipted.
- CAU will complete the following steps in eXPRS system.
  - Request CAU Management accept the Service Prior Authorization (SEPA)
  - Request DHS Accounting accept the Provider Prior Authorization (PPA)
  - Request eXPRS team run the Claims process to get funds released to the Contractor. The STF/Local Portion and Federal Portion will be sent at the same time.

*If you have any questions about this information, contact:*

|                    |  |             |              |
|--------------------|--|-------------|--------------|
| <b>Contact(s):</b> | Dawn Andersson   |             |              |
| <b>Phone:</b>      | 503-947-5190   | <b>Fax:</b> | 503-945-5623 |
| <b>Email:</b>      | <a href="mailto:dawn.c.andersson@state.or.us">dawn.c.andersson@state.or.us</a> |             |              |

**DD 53 Transportation Service Local Match Invoice**

**Contractor Name:**  
**Provider Name:**  
**Authorizing CDDP:**  
**Contract Period:**

7/1/13 to 6/30/15

**OCP Contract Number:**  
**Provider Number:**  
**CDDP Contract Number:**  
**Approved Fixed Rate Per Ride:**

| Date CAU Received Roster | Roster Month | Number of Rides | Total Monthly Expense | Transit/ IGA Portion To DHS | Federal Portion To Transit/IGA * | Date Transit/IGA Portion Received | Date Federal Portion and Transit/IGA Portion Paid | ICN # |
|--------------------------|--------------|-----------------|-----------------------|-----------------------------|----------------------------------|-----------------------------------|---|-------|
|                          | Jul-13       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
|                          | Aug-13       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
|                          | Sep-13       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
|                          | Oct-13       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
|                          | Nov-13       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
|                          | Dec-13       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
|                          | Jan-14       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
|                          | Feb-14       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
|                          | Mar-14       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
|                          | Apr-14       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
|                          | May-14       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
|                          | Jun-14       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
|                          | Jul-14       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
|                          | Aug-14       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
|                          | Sep-14       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
|                          | Oct-14       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
|                          | Nov-14       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
|                          | Dec-14       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
|                          | Jan-15       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
|                          | Feb-15       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
|                          | Mar-15       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
|                          | Apr-15       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
|                          | May-15       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
|                          | Jun-15       |                 | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
| <b>2013-2014 FY1</b>     |              | -               | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
| <b>2014-2015FY2</b>      |              | -               | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |
| <b>2013-2015 BI</b>      |              | -               | \$ -                  | \$ -                        | \$ -                             |                                   |   |       |

This document will cover the full 2013-2015 BI for DD 53 Transportation Services, it will be updated as actions occur. The Contract Administration Unit (CAU) will batch all Rosters submitted on the same date into one bundle for processing. All activity can be tracked on this one document.

**DD 53 Transportation Service Local Match Invoice**

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The ***Date Roster Received*** is the date the Contract Administration Unit received the monthly DD 53 roster(s) from the provider. The rosters may be batched monthly, quarterly, semi annual, or annual but for submission. The Local Match Funds will be calculated when roster(s) are received by the Contract Administration Unit. When the State receives the Transit/Intergovernmental (IGA) Portion of LM Project their portion and the Federal Match Portion will be paid to the agency.

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The ***Number of Rides*** is the unique count of rides (one way) in a given month. Each individual on the roster should have no more than two rides per day.

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The ***Rate Per Ride*** is an approved fixed rate. Formula Direct Costs (Transportation/Administrative) + Indirect Costs = Total Cost/ Projected Number of One Way Rides in a Month = Approved Fixed Rate. The Direct Cost, Indirect Cost and number of rides can only come from the population served in this Local Match Project for Developmental Disability Services.

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The ***Total Monthly Expense*** is the full amount spent per month on DD 53 Transportation Services for a provider.

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The ***Transit/Intergovernmental (IGA) Portion*** is the amount the provider requesting a Local Match Project will pay into Department of Human Services (DHS) to be matched with Federal Funds. The source of the Transit Portion cannot be from any Federal Funding. Please Mail the check to the following address with a cover letter and note in Memo of check clearly identifying the reason for payment.

***Example - 13-15 DD 53 Local Match CDDP Name XXXXX CDDP , CDDP Contract # XXXXXX, Provider Contract # XXXXXX and Provider Contractor Name XXXXXXX***

**DHS Receipting and Trust**

**ATTN: Contract Payments**

**PO Box 14006**

**Salem OR 97309**

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The ***Federal Portion*** is the amount that will be matched with Federal Funds\* **The Federal Portion is subject to current printed FMAP % Rate at time of payment.**

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The ***Date Transit/IGA Portion Received*** is the date the Department of Human Services (DHS) Accounting Unit reports receipt of the Transit/Intergovernmental (IGA) Portion of the match project to the Contracts Administration Unit (CAU).

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The ***Date Federal Portion and Transit/IGA Portion Paid*** is the date DHS Accounting Unit reports sending out the full Local Match Project Funds to the Transit/IGA.

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The ***ICN Number*** is an internal tracking number used by DHS Accounting Unit and will appear on your documentation from eXPRS payments.

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|        | Provider/<br>Mass<br>Transit<br>Match<br>Portion | Base<br>FMAP<br>(Fed<br>Match<br>Portion) |
|--------|--|---|
| Jul-13 | 37.56%   | 62.44%                                    |
| Aug-13 | 37.56%   | 62.44%                                    |
| Sep-13 | 37.56%   | 62.44%                                    |
| Oct-13 | 36.86%   | 63.14%                                    |
| Nov-13 | 36.86%   | 63.14%                                    |
| Dec-13 | 36.86%   | 63.14%                                    |
| Jan-14 | 36.86%   | 63.14%                                    |
| Feb-14 | 36.86%   | 63.14%                                    |
| Mar-14 | 36.86%   | 63.14%                                    |
| Apr-14 | 36.86%   | 63.14%                                    |
| May-14 | 36.86%   | 63.14%                                    |
| Jun-14 | 36.86%   | 63.14%                                    |
| Jul-14 | 36.83%   | 63.17%                                    |
| Aug-14 | 36.83%   | 63.17%                                    |
| Sep-14 | 36.83%   | 63.17%                                    |
| Oct-14 | 36.83%   | 63.17%                                    |
| Nov-14 | 36.83%   | 63.17%                                    |
| Dec-14 | 36.83%   | 63.17%                                    |
| Jan-15 | 36.83%   | 63.17%                                    |
| Feb-15 | 36.83%   | 63.17%                                    |
| Mar-15 | 36.83%   | 63.17%                                    |
| Apr-15 | 36.83%   | 63.17%                                    |
| May-15 | 36.83%   | 63.17%                                    |
| Jun-15 | 36.83%   | 63.17%                                    |
| Jul-15 | 36.83%   | 63.17%                                    |
| Aug-15 | 36.83%   | 63.17%                                    |
| Sep-15 | 36.83%   | 63.17%                                    |

## 53 TS

Local Matching Financial Assistance and Title XIX Collections for Public Transit Districts

Transportation (DD 53): The financial assistance subject to this special condition is subject to the following requirements: The provider agrees to the “Approved Fixed Rate per Ride” of \$ **XX.XX**.

For more information on the Standards and Procedures for Transportation Services –Public Transit District (DD 53) refer to Transportation Services (Public Transit District) - DD53 (PDF) located at <http://www.oregon.gov/DHS/spd/provtools/index.shtml>